

PATENT

Attorney Docket No.: 018563-001120US  
Client Reference No.: AT-00014.1

COPY

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Washington, D.C. 20231

on April 8, 2002

TOWNSEND and TOWNSEND and CREW LLP

By

Brad J. Loos

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

LOC X. PHAN et al.

Application No.: 10/040,269

Filed: October 29, 2001

For: ATTACHMENT DEVICES AND  
METHODS FOR A DENTAL  
APPLIANCE

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR §1.97  
and §1.98

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. In accordance with 37 CFR §1.98(d), copies of the references, except U.S. Patent Nos. 5,975,893 and 6,309,215, can be found in Application No. 09/454,278 (now U.S. Patent No. 6,309,215), filed 12/03/99 (Attorney Docket No. 18563-001110US). Copies of U.S. Patent Nos. 5,975,893 and 6,309,215 are enclosed herewith. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

TECHNOLOGY CENTER R3700

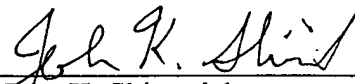
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As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

  
\_\_\_\_\_  
John K. Shimmick  
Reg. No. 44,335

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Please stamp the date of receipt of the following document(s)  
and return this card to us:

JUN 21 2002

RE: LOC X. PHAN ET AL.

**TITLE OF DOCUMENT(S):**

Information Disclosure Statement  
PTO /SB08A and 08B Forms  
2 Reference Copies  
Fee Authorization (IDS page 2)

Application No. 10/040,269

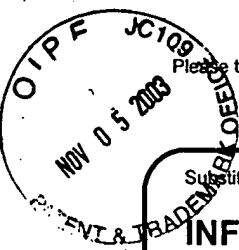
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Substitute for form 1449B/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 2

## Complete if Known

Application Number	10/040,269
Filing Date	October 29, 2001
First Named Inventor	PHAN, LOC X.
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	018563-001120US

## U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
CEW	AA	3,922,786		Lavin	12/1975	
CEW	AB	5,011,705		Lemchen	4/1991	
CEW	AC	5,957,686		Anthony	9/1999	
CEW	AD	5,964,587		Sato	10/1999	
CEW	AE	5,971,754		Sondhi et al.	10/1999	
CEW	AF	5,975,893		Chistiti et al.	11/1999	
CEW	AG	6,309,215		Phan et al.	10/2001	

## FOREIGN PATENT DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
CEW	AH	WO	98/58596			12/1998		

## OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
CEW	AI	Chippone, "Constructing the gnathologic setup and positioner" <i>Journal of Clinical Orthodontics</i> (1980) 14:121-133.	TECHNOLOGY CENTER R3700
CEW	AJ	Cottingham, "Gnathologic clear plastic positioner" <i>American Journal of Orthodontics</i> (1969) 55:23-31.	
CEW	AK	Cureton, "Correcting malaligned mandibular incisors with removable retainers" <i>Journal of Clinical Orthodontics</i> (1996) 30:390-395.	
CEW	AL	Kesling et al., "The philosophy of the tooth positioning appliance" <i>American Journal of Orthodontics and Oral Surgery</i> (1945) 31:297-304.	
CEW	AM	Kesling et al., "Coordinating the predetermined pattern and tooth positioner with conventional treatment" <i>American Journal of Orthodontics and Oral Surgery</i> (1945) 32:285-293.	
CEW	AN	Kleeman et al., "The speed positioner" <i>Journal of Clinical Orthodontics</i> (1996) 30:673-680.	
CEW	AO	Product Brochure, Raintree Essix™, Inc. New Orleans, Louisiana 70125, 7 pages total from <a href="http://www/essix.com/magazine/default.html">http://www/essix.com/magazine/default.html</a> .	

Examiner Signature

Cathy O'Connor

Date Considered

11/28/03

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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*(use as many sheets as necessary)*

Sheet

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of

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Examiner Name	Unassigned
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## FOREIGN PATENT DOCUMENTS

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Examiner Signature	<i>Cary E O Connor</i>	Date Considered	11/20/03
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